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ABSTRACT

As the introductory volume to the 19-volume Highway Safety Program Manual (which provides guidance to State and local governments on preferred highway safety practices), the document concentrates on aspects of planning and administration of a statewide highway safety program. Topics discussed are: the purpose of planning and administration, program authorization, and applicable legislation. Program development, operations, administration requirements, and recommendations, together with an evaluation of the program, outline a suggested management approach to highway safety which embraces all highway safety functions and their relationships to national standards. The role of local government is briefly described. Three types of reports are explained: management information, evaluation, and those for the National Highway Safety Bureau. Appendixes include a glossary of definitions, an example of State enabling legislation, and an example of a State executive order. (NH)

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# highway safety program manual

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## vol 0 planning and administration

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DEPARTMENT OF TRANSPORTATION : Federal Highway Administration : National Highway Safety Bureau

# HIGHWAY SAFETY PROGRAM MANUAL

## VOLUME 0

## PLANNING AND ADMINISTRATION

Nothing in this volume makes optional any mandatory requirement contained in promulgated Highway Safety Program Standards

# FOREWORD

As part of the Highway Safety Program Manual, this volume is designed to provide guidance to State and local governments on preferred highway safety practices. Volumes comprising the Manual are:

0. Planning and Administration
1. Periodic Motor Vehicle Inspection
2. Motor Vehicle Registration
3. Motorcycle Safety
4. Driver Education
5. Driver Licensing
6. Codes and Laws
7. Traffic Courts
8. Alcohol in Relation to Highway Safety
9. Identification and Surveillance of Accident Locations
10. Traffic Records
11. Emergency Medical Services
12. Highway Design, Construction, and Maintenance
13. Traffic Control Devices
14. Pedestrian Safety
15. Police Traffic Services
16. Debris Hazard Control and Cleanup

The volumes of the Manual supplement the Highway Safety Program Standards and present additional information to assist State and local agencies in implementing their highway safety programs.

The content of the volumes is based on the best knowledge currently available. As research and operating experience provide new insights and information, the Manual will be updated.

The volumes of the Highway Safety Program Manual deal with preferred highway safety practice and in no way commit the Department of Transportation to funding any particular program or project.

Many expert organizations and individuals at all levels of government and in the private sector contributed heavily in the preparation of the volumes of the Manual. The Department appreciates greatly this help in furthering the national program for improving highway safety for all Americans.

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Par. 1. Introduction
2. Purpose

## 1. INTRODUCTION

A Statewide highway safety program needs leadership and coordination among the various components which comprise it in order for it to achieve the State's objectives in an efficient and timely manner. The Statewide program needs to be viewed as a comprehensive undertaking which requires careful and continuing planning, organizing, direction, and control. Because of the wide variety of officials and State agencies responsible for various aspects of highway safety it is considered ". . . essential to administrative workability and the success of the program that there be one central authority responsible to the Secretary for the State's safety program. Accordingly, the bill as . . . [enacted] requires that the Governor of the State be the responsible official. It places no restriction, of course, upon his power to delegate his functions in any way he wishes for administrative purposes, provided he remains the State official responsible to the Federal Government for conduct of the State's program."*

## 2. PURPOSE

The purpose of planning and administration is to draw together under the direction of the Governor all the diverse Statewide highway safety activities, including activities responsive to the Standards promulgated by the Department of Transportation, into a well-structured, concerted effort that satisfies the State's highway safety objectives in such a way that a long-term, stable, and thoroughly professional program is assumed.

* H.Rept. 1700, 89th Congress, 2d Session, p. 21.

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The authority for a planning and administration program is contained in Chapter 4 of Title 23, U. S. C. (hereinafter referred to as the Highway Safety Act of 1966). Section 402(b)(1) states that:

> "The Secretary shall not approve any State highway safety program under this section which does not . . . (A) provide that the Governor of the State shall be responsible for the administration of the program."

# HIGHWAY SAFETY PROGRAM MANUAL

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| CHAPTER III.<br>General Policy | January 17, 1969 |

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Par. 1. Introduction
2. Policy Statements

## 1. INTRODUCTION

a. It is the intent of the Highway Safety Act of 1966 "to increase highway safety" through the promulgation of uniform national Highway Safety Standards. For the purpose of implementing the Act, the National Highway Safety Bureau was created and is charged with the administration of the Act and for providing technical assistance to the States.

b. Under the Act a State is responsible for planning and implementing its own Statewide highway safety program. Thus, much latitude is given to the State to develop the specifics of its program according to the State's unique circumstances and particular highway safety needs. However, in order to assure a uniform national program, the Federal Government has issued the guidelines represented by the volumes of this Manual, which should be considered by each Governor or his representative in developing the State's program.

## 2. POLICY STATEMENTS

The Highway Safety Act of 1966 provides the framework for the development of policy guidelines. The following sections of the law, in particular, apply to Statewide planning and administration:

a. ". . . that the Governor of the State shall be responsible for the administration of the program." [23 U.S.C. 402(b)(1)(A)].

b. ". . . [that] political subdivisions of such State [be authorized] to carry out local highway safety programs within their jurisdictions as a part of the State highway safety program if such local highway safety programs are approved by the Governor and are in accordance with the uniform standards of the Secretary promulgated under this section." [23 U.S.C. 402(b)(1)(B)].

States should encourage the maximum participation in the Highway Safety Program of local political subdivisions by program guidance and financial, professional, and technical assistance.

c. ". . . that at least 40 per centum of all Federal funds apportioned under this section to such State for any fiscal year will be expended by the political subdivisions of such State in carrying out local highway safety programs authorized in accordance with subparagraph (B) of this paragraph." [23 U.S.C. 402(b)(1)(C)].

Expenditures to satisfy this provision must be for the benefit of local political subdivisions.

d. ". . . that the aggregate expenditure of funds of the State and political subdivisions thereof, exclusive of Federal funds, for highway safety programs will be maintained at a level of such expenditures for its last two full fiscal years preceding the date of enactment of this section." [23 U.S.C. 402(b)(1)(D)].

Federal funds appropriated to finance State and local government grants are intended to supplement and not to substitute for State and local highway safety program expenditures.

e. ". . . After December 31, 1969, the Secretary shall not apportion any funds under this subsection to any State which is not implementing a highway safety program approved by the Secretary in accordance with this section. Federal aid highway funds apportioned on or after January 1, 1970, to any State which is not implementing a highway safety program approved by the Secretary in accordance with this section shall be reduced by amounts equal to 10 per centum of the amounts which would otherwise be apportioned to such State under section 104 of this title, until such time as such State is implementing an approved highway safety program. Whenever he determines it to be in the public interest, the Secretary may suspend, for such periods as he deems necessary, the application of the preceding sentence to a State. . ." [23 U.S.C. 402(c) as amended].

A self-evaluation by each State of its highway safety program is required. A review of each State's highway safety program will be performed by the NHSB. Approval by the Secretary of Transportation will be based on the review of the submission by the State.

# HIGHWAY SAFETY PROGRAM MANUAL

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| CHAPTER IV.<br>Program Development and Operations | January 17, 1969 |

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Par. 1. Introduction
2. Program Development
3. Program Operations and Administration

## 1. INTRODUCTION

This chapter reviews the requirements for and suggests an approach to developing and administering a Statewide highway safety program. This chapter and the following chapter concerning program evaluation together outline a suggested management approach to highway safety that embraces all highway safety functions and their relationships to the national Standards. This volume does not address itself to those items of the State and community highway safety program that relate to project approvals, funding, reimbursements, authorizations, apportionment, and other administrative details. *

a. Management approach.

Since the Governor is designated by law as responsible for the administration of the Statewide highway safety programs, the management approach that follows has been structured to be exercised at the State level. However, where necessary, local government relationships to the State management operation have been identified and discussed. Local government participation in the Statewide program is recognized as being an extension of the Governor's overall responsibility for the administration of the program. In addition, the management approach is presented as if a State were making initial explorations for implementing a highway safety program. Emphasis is placed on major management activities to be undertaken, organizational criteria and arrangements, primary responsibilities, decision points, and relationships.

* These are discussed in detail in Volume 100, Highway Safety Program Administration to be published.

b. Management process.

Exhibit I, following this page, gives an overview of the entire management process. Each of the major phases of the process is discussed in depth in this chapter.

## 2. PROGRAM DEVELOPMENT

Highway safety is recognized as requiring the collaboration of a wide variety of services and activities that emanate from the several national Standards and the program guidelines set forth in the volumes of this Manual. The challenge of management in this field is to embrace all of the relevant services and activities at all levels of government in the State, and as appropriate, in the private sector and draw them together into a unified program that works in concert to increase highway safety.

a. Purpose.

The first phase of managing a highway safety program should consist of formulating and developing the extensive and diverse highway safety activities into a unified program and organizing these activities for management purposes. Such program development assists the Governor in fulfilling his responsibility for the administration of the highway safety program. As such, program development is most appropriately the function of the Governor's designated central administrative official for highway safety at the State level.

b. Management cycle.

Although the following management information is broken out in distinct steps, it should be understood that the actual management of highway safety programs forms an ongoing process. In this cycle, the various management phases overlap and are not discrete. The information is broken out to show how the phases interrelate.

c. Establishment of a management organization.

The initial task in the development and operation of a Statewide highway safety program is the establishment of a management organization. This includes the designation of a central position of authority and responsibility for planning, coordinating, evaluating, and providing leadership to the Statewide highway safety program.

EXHIBIT I

AN APPROACH TO THE STATEWIDE
HIGHWAY SAFETY PROGRAM MANAGEMENT PROCESS

| Program Development | Program Operations And Administration | Program Evaluation |
|---|---|---|
| . Establish Management Organization | . Reassess Alternatives And Set Priorities | . Evaluate Statewide Program |
| . Formulate Objectives | . Analyze And Select Activities | . Evaluate Management Performance |
| . Identify And Interrelate Activities | . Prepare Program Budget | |
| . Prepare A Program Structure | . Execute And Control Program | |
| . Assign Responsibilities | . Develop Program Change Control | |
| . Conduct Program Inventory | | |

(1) Governor's Representative.

The Governor should appoint a central State official for highway safety.

(a) This official should be known as the Governor's Representative for Highway Safety and should normally function as the highway safety program manager. Throughout the chapter this position will be referred to as the Governor's Representative/program manager. However, a separate position of program manager might be designated in a subordinate administrative position to the Governor's Representative. Exhibit II, following this page, presents a representative organization structure which illustrates the central position of the Governor's Representative/program manager.

(b) The Governor's Representative/program manager should act in a staff capacity to the Governor. In discharging his duties, the Governor's Representative/program manager should work at the cabinet level with all State line agencies (e.g., Public Health, Highways, etc.) and independently elected officials with regard to all activities concerning highway safety and the national Standards. He should have the responsibility and authority to:

1 Define the objectives of the comprehensive highway safety program and its component activities.

2 Balance and coordinate the State's resources for the greatest overall highway safety program effectiveness.

3 Organize and assume the execution of a Statewide highway safety program.

4 Recommend appropriate changes and new activities.

5 Maintain a focal point on highway safety for local jurisdictions.

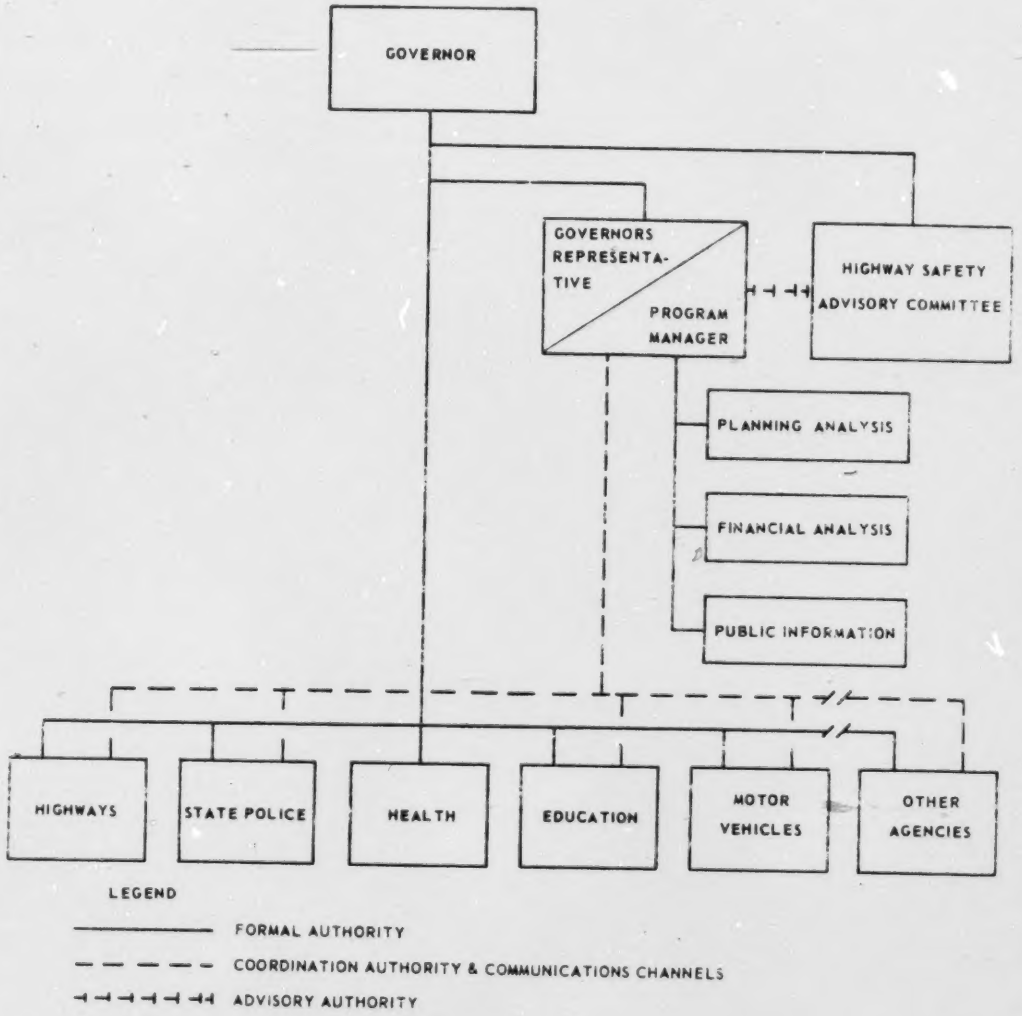
6 Maintain liaison between the State and the Federal Government, and with other States.

7 Receive and transmit State agency requests for Federal highway safety funds and assure financial review and approval of such requests.

8 Specify information needs and systems for the planning and analysis of the Statewide highway safety programs.

EXHIBIT II

ILLUSTRATIVE ORGANIZATION CHART



9 Evaluate the Statewide highway safety program and provide this information to the Governor on a timely basis.

10 Assist in defining Statewide highway safety manpower needs and resources.

11 Review and make recommendations to the Governor on the assignment of responsibilities and the approval of plans and activities of the State departments and agencies involved in highway safety.

12 Coordinate the dissemination of public information on highway safety throughout the State.

13 Prepare a separate budget that represents the highway safety program at the State level.

14 Maintain an advisory role on highway safety to State departments, including the formulation of manpower development requirements.

15 Provide for appropriate inspection and audit.

(2) Relationship with local government.

The Governor's Representative/program manager should also provide advice, leadership, and coordination for assuring that the Statewide highway safety program and the national Standards are effectively communicated to and executed at the local level. Therefore, he should immediately attend to defining his formal channels of communication within the considerations of his staff, the organization of the State government, size of State, and his authority and responsibility.

(a) In overseeing the Statewide highway safety program, the Governor's Representative/program manager should formalize channels of communication with local jurisdictions consistent with the needs of the program.

(b) The Governor's Representative/program manager should receive and transmit local requests for Federal highway safety funds for financial review and approval of such requests. He (and his designated representative) should assist, as requested, in formulating local highway safety program development and operations.

(3) Relationship with private sector.

The Governor's Representative/program manager should develop and maintain a close working association with private groups and individuals (e.g., PTAs, safety councils, health organizations, research workers, colleges and universities) that do, or can, contribute to the improvement of highway safety in the State. This can be accomplished by having the Governor's Representative/program manager act as the focal point of governmental activities in highway safety and as the official Statewide coordinator of highway safety activities.

(4) State highway safety advisory group.

To assist in fulfilling the requirements and necessary communications of his leadership and coordination functions, the Governor's Representative/program manager may find it desirable to have a highway safety advisory group.

(a) Members of such a group might be appointed by the Governor, or as otherwise provided by appropriate statute, and should include senior officials from, but not limited to:

1 State agencies.

2 State legislature.

3 State judiciary.

4 Local jurisdictions.

5 Private organizations.

6 Universities.

7 Professional organizations.

8 Labor and industry.

9 Private citizens.

(b) This advisory group should have the responsibility to:

1 Assist the Governor's Representative/program manager in setting State and community highway safety objectives.

2 Provide advice on collecting, analyzing, and disseminating information related to highway safety.

3 Express public attitudes, opinions, and ideas on highway safety.

4 Assist the Governor's Representative/program manager in encouraging innovative highway safety programs and activities.

(c) The Governor might be chairman of such a group and the Governor's Representative/program manager might be designated his alternate as well as secretary of the group.

(5) Staff assistance.

The Governor's Representative/program manager requires staff assistance of a magnitude depending upon the size and complexity of the Statewide highway safety program. This staff assistance is necessary to support the activities of the Governor's Representative/program manager enumerated above.

(6) Enabling authority.

To assist the Governor's Representative/program manager in effectively coordinating and implementing the Statewide highway safety program, it may be desirable to formalize his role. This can be accomplished by:

(a) First, establishing his position, authority, and responsibilities in law. A discussion of model State enabling legislation is included in Appendix B of this volume.

(b) Second, having the Governor issue a formal executive order to State agencies and local jurisdictions giving recognition to the purpose, authority, and responsibilities of the Governor's Representative/program manager. A model executive order for this purpose is included in Appendix C of this volume.

d. Formulation of highway safety objectives.

Based upon the Governor's policies and the national Highway Safety Standards, a set of specific highway safety objectives should be formulated for the State. These objectives should become the foundations for structuring, selecting, and evaluating services within the highway safety program. While it is apparent that the overall objective of the highway safety program is the reduction of traffic crashes and fatalities, effort should be directed to further refining objectives of each major program element (driver education, motor vehicle inspection, etc.) to specific sub-goals to be pursued for discrete planning periods (two-year and five-year spans are suggested).

e. Identification and interrelationship of all activities needed to satisfy objectives.

(1) Once objectives are formulated, then all State activities necessary to achieve them should be identified and related. By identifying and relating activities to objectives, the pattern of relationships these activities form should become recognizable. With recognition of activity relationships, the allocation of these activities among organizations, departments, and agencies may be accomplished within the individual considerations of each State. It should be noted that the various activities involved in implementing each Standard may often be performed by several State agencies and organizations.

(2) The requirements for planning, coordinating, and evaluating the activities of a Statewide highway safety program will be enhanced by knowing the role and objective of each activity and how it fits into the total program. For example, once the specific objectives of driver education are identified, the activities to accomplish these objectives are established, and the necessary interrelationships are developed with such other programs as driver licensing and motor vehicle registration. Specific tasks may then be assigned to such functional agencies as the Department of Public Education, Department of Motor Vehicles, or any other functional organization without inhibiting the required central highway safety planning, coordination, and evaluation.

f. Preparation of a functional program structure.

A program structure is a document that assembles all highway safety program activities into a unified framework. This framework shows the highway safety program as a system composed of related activities.

(1) Preparation of functional program structure involves the actual identification and classification of activities by major highway safety factors (human, vehicle, highway, and system support) and the major program activities (entry, operating, cleanup, disposition, diagnosis). Illustration of a matrix form of this identification and classification is shown as Exhibit III, following this page.

(2) Criteria to be applied in assembling highway safety activities within a functional structure are:

(a) The groupings of activities should be logical and similar in purpose and character.

(b) Activity groups should be managed, if possible, by a single agency. (An activity group is a related set of safety activities as illustrated in Exhibit III by the two activities "Motor Vehicle Inspection" and "Motor Vehicle Registration" along the "Vehicle" row under the "Entry" column.)

FUNCTIONAL PROGRAM STRUCTURE MATRIX WITH ILLUSTRATIONS OF USE

| PROGRAM FACTORS | PROGRAM ACTIVITIES | | | | |
|---|---|---|---|---|---|
| | ENTRY | OPERATING | CLEANUP | DISPOSITION | DIAGNOSIS |
| Human | • Curriculum Development<br>• Driver Testing<br>• Ambulance Driver Testing | • Enforcement of Rules of the Road<br>• Detection of Intoxicated Drivers<br>• Enforcement of Helmet Use by Motorcyclists | • Emergency Treatment<br>• Testing of Crash-Involved Drivers for Alcohol | • Court Operations Trial<br>• Disposition and Rehabilitation<br>• Reporting | • Analysis of Driver Crash and Violation Statistics<br>• Analysis of Driver Behavior<br>• Analysis of Effects of Judicial Actions |
| Vehicle | • Motor Vehicle Inspection<br>• Motor Vehicle Registration | • Enforcement of Motor Vehicle Condition | • Wreckage Clearance | • Motor Vehicle Reinspection | • Analysis of Accident Incidence by Make and Year of Vehicle |
| Highway | • Operating Design Standards<br>• Crash Design Standards<br>• Contract Specifications for Safety | • Traffic Flow Regulation | • Highway Repair | • Investigation of Highway Condition | • Identification of High-Accident Locations<br>• Analysis of Adequacy of Operating Design<br>• Analysis of Adequacy of Crash Design |
| System Support | • Formulation of Codes and Laws<br>• Compilation of Driver and Vehicle Records | • Routine Communications | • Crash Reporting<br>• Emergency Communications<br>• Emergency Transportation Emergency Command and Control | • Merging of Driver, Vehicle, Highway, and Related Records | • Analysis of Records<br>• Identification of Problems and Statistical Reporting |

(3) Major uses of this kind of highway safety program structure are to:

(a) Assign responsibilities for administering highway safety activities.

(b) Assess the completeness of highway safety activities and identify any deficiencies.

(c) Analyze the interrelationships among highway safety activities and identify coordination requirements.

(d) Organize planning and reporting documents and procedures.

g. Assignment of activity responsibilities.

Once the program structure takes form, attention should be directed to developing an effective and comprehensive distribution of responsibilities between levels of government, and, at each level of government, between agencies.

(1) Because of the widely varying laws, conditions, traditions, capabilities, financial resources, and attitudes among the States, no specific recommendation is made here concerning assignment of responsibilities among State and local agencies and jurisdictions.

(2) However, there are fundamental criteria that should be considered in the assignment of program responsibilities. These criteria are:

(a) Responsibility for each highway safety activity should be assigned to specific governmental agencies responsible for geographic or functional areas of a size and/or composition which will enable effective accomplishment of the activity.

(b) Responsibilities should be assigned to jurisdictions that have the ability to plan effectively for the particular activity required and that can carry it out effectively.

(c) A jurisdiction or agency should have the commensurate authority to implement the responsibility and should be accountable for performance.

(d) A jurisdiction should have suitable financial and manpower resources available to support its responsibilities, as well as the flexibility to support the expanding, contracting, or changing requirements that are associated with these responsibilities.

(e) Public support and involvement, which is particularly necessary in highway safety activities, should be fostered by the particular jurisdiction assuming pertinent responsibilities.

(f) Activities should be administered at a governmental level as close to the local community as possible while still satisfying all other criteria.

(g) The overall distribution of responsibilities should form a sound structure for both intergovernmental and intragovernmental operations for realizing highway safety program objectives and should be recognized as such.

(3) After applying organizational criteria such as those listed above to the program structure, the Governor or his Representative should be able to determine what is the best distribution of responsibility for achieving Statewide highway safety objectives.

h. Preparation of a program inventory.

To complete the program development phase, the Governor's Representative/program manager should prepare a Statewide highway safety program inventory. The purpose of this inventory is to identify all current highway safety activities in the State, to measure their progress, and to project existing plans. The program inventory should include the following points:

(1) A description of activities under way and their status (i.e., static, expanding, starting up).

(2) Coverage of existing activities, including:

(a) Volume of service or level of activity, such as:

1 Current work load (number of vehicles being inspected, drivers licenses issued, etc.).

2 Relationship to demand (number of vehicles needed to be inspected, number of drivers licenses being issued, etc.).

3 Relationship to national Standards.

(b) Index or quality specification to which performed (such as quality control in driver education).

(3) Annual cost of existing activities and projected level for 2 and 5 years forward for States and local activities.

(4) Source of funds for each activity (general fund, Federal aid, etc.).

(5) Assignment of responsibility for performing activities including:

(a) Between levels of government.

(b) Between agencies at each level of government.

(6) Description of plans for expanding volume or raising quality of service or activity.

(7) Management analysis of:

(a) Status (resource requirements, manpower development, etc.).

(b) Status with respect to State goals (are the activities meeting objectives?).

(c) Status with respect to national Standards with emphasis on effectiveness.

3. PROGRAM OPERATIONS AND ADMINISTRATION

The second phase of managing a highway safety program is the implementation of the program as developed. The five major responsibilities of the Governor's Representative/program manager necessary for this phase are discussed in this paragraph.

a. Reassessment of alternative approaches and setting priorities within the program.

To keep pace with changing needs and requirements, there should be a continuing reassessment of present programs and formulation of program alternatives. This is most effectively achieved through reviews of the functional program structure as it relates to the objectives of highway safety and to new methods, techniques, and activities of program development. The major checkpoints in this responsibility are:

(1) Ensuring full coverage of the required and additional activities in the program.

(2) The use of appropriate methods and techniques in providing services and in recognizing alternative approaches.

(3) Setting priorities among alternatives and between activities to achieve highway safety objectives.

b. Approach analysis and selection.

In approach selection, decisions must be made as to what activities to implement and to include in budget preparation. The three primary considerations in approach analysis and selection are:

(1) The requirements of the Standards.

(2) The costs of the approach.

(3) Its benefits (expressed in objective terms).

c. Program budget preparation.

A separate program budget should be compiled for highway safety.

(1) The Governor's Representative/program manager, working in close consultation and coordination with State department heads and officials should examine each year or two the working objectives and requests of the operating State departments that concern highway safety and formulate a highway safety program budget. The decisions to be made during budget preparation are on the best distribution of resources to satisfy objectives.

(a) The highway safety program budget should translate the working objectives into State resources necessary for highway safety activities as well as express program objectives and costs for the next 5 years. The State should also include in its program objectives and costs for the next 5 years the needs of the local political subdivisions.

(b) Each continuing year, the 5-year program budget plan should be updated and extended for one additional year.

(2) For internal managerial purposes, the highway safety program budget may be converted to line-item format showing resource appropriations distributed to the appropriate State departments.

d. Annual program.

An annual work program should be prepared to express the State plan for highway safety for development and submission of applications to the National Highway Safety Bureau. The procedural details for the annual work program will be contained in Volume 100, Highway Safety Program Administration.

e. Program execution and control.

In the execution of the Statewide highway safety program, the Governor's Representative/program manager should be concerned with the factors of schedule, costs, and quality of services.

(1) Techniques for monitoring the time schedule of activities are available in such forms as Program Evaluation Review Technique (PERT) and bar charts. These techniques will allow the Governor's Representative/program manager to determine if activities are ahead of or behind schedule (e.g., if records systems are being developed on time).

(2) Cost control consists of ensuring that expenditures for highway safety are maintained within plans set by the budget and that the desired achievements from expenditures are realized. A basic principle of cost control is for each department and agency to adopt formal procedures for registering actual costs against planned expenditures. Cost control may be centered around three processes, including:

(a) The clearance of expenditures for authorization before being committed.

(b) A system for reporting costs and achievement to the Governor's Representative/program manager on a periodic basis.

(c) An independent audit of the program to check the propriety of expenditures.

(3) The Governor's Representative/program manager and his staff are encouraged to conduct periodic reviews of programs and particular components of a program at both the local and State levels to ascertain the effectiveness and quality of effort.

f. Program change control.

Flexibility is needed to change the program and shift resources during program execution.

(1) To accommodate the need for flexibility in program execution and still keep the program as close to plan as possible, a procedure for receiving, evaluating, and deciding upon requests for program changes should be instituted.

(2) In entertaining any program change request, the Governor's Representative/program manager should consider the following questions:

(a) Does the change increase, decrease, or have no effect on the achievement of program objectives?

(b) What is the impact of change on the highway safety program in terms of structural relationships and coordination?

(c) What costs and resource requirements will be necessary to support the change over the next 2 to 5 years and what effect will there be on approved budget plans?

(3) Each major program change should include replanning and redirection of objectives and effort and a reexamination of alternatives and priorities.

# HIGHWAY SAFETY PROGRAM MANUAL

| VOLUME 0<br>Planning and Administration | TRANSMITTAL<br>1 |
|---|---|
| CHAPTER V.<br>Program Evaluation | January 17, 1969 |

(42-01)

Par. 1. Introduction
2. Purpose of Evaluation
3. Areas for Evaluation
4. Evaluation Procedures

## 1. INTRODUCTION

The realization of a fully effective Statewide highway safety program necessitates a continuing evaluation of performance. The evaluation should be concerned with the program performance of the total Statewide highway safety program.

## 2. PURPOSE OF EVALUATION

Evaluation is needed in order to optimize the allocation of limited resources. It is the means by which State officials can make intelligent decisions on the effectiveness of the overall program, on the individual elements of the Statewide program, and on the stewardship of the program. It identifies the status of the program vis-a-vis objectives and illustrates those areas of effort which need further attention.

## 3. AREAS FOR EVALUATION

Two major areas in planning and administration require evaluation:

a. Management performance.

Management performance evaluation is concerned with measuring how well the Statewide highway safety program, and each individual component of the program, is meeting established schedules, staying within planned costs, achieving objectives, and providing quality in implementation.

b. Program performance.

Highway safety program performance evaluation should include the following:

(1) Detecting and correcting program problems.

(2) Determining how well programs are performing against plan.

(3) Determining the value of one program vis-a-vis other programs.

(4) Measuring how well programs are meeting overall highway safety objectives.

4. EVALUATION PROCEDURES

The following procedures are suggested for evaluation of the planning and administration function and for evaluation of the total Statewide highway safety programs in each State. The State is encouraged to develop techniques and procedures which are suitable to the particular legal, demographic, economic, and other characteristics of the State.

a. Evaluation of planning and administration function.

In the early stages of development of the Statewide program it may be helpful to make use of a checklist of items which shows the current status of the program, areas where concentrated effort is needed, and the role of the Governor's Representative/program manager. The following items should be included:*

(1) Involvement and participation of State agencies and involvement and participation of local governments.

(2) Enabling legislation or other documents citing the authority of the Governor's Representative/program manager.

(3) Base year criteria, to indicate that aggregate expenditures of the State and local governments for the highway safety program, exclusive of Federal funds, will be maintained at a level which does not fall below the base year average. Some of this information is readily available from the base year criteria and the Section 207 Needs Study work previously submitted.

* This information was sent to the States by the NHSB on July 22, 1968.

(4) Current program deficiencies, indicating areas of the current program noted as deficient when compared against the Standards and required remedial action.

(5) Program implementation narrative, including a descriptive presentation of safety program activities based on deficiencies, time phases, and priorities.

(6) Political subdivision program, with a discussion of the State-local government coordination effort.

(7) Measurements of performance as presented in other volumes of this Manual.

b. Evaluation of Statewide program.

Evaluation of the Statewide highway safety program should include:

(1) A set of performance indicators for interpreting the value and effect of services provided by each component of the Statewide program. The indicators should measure volume, quality, and the comparative quantity of work provided. To the fullest extent feasible, the objectives of each program and program component should be quantified (e.g., decreases in numbers of crashes, increases in number of trained drivers, etc.). An example of performance indicators follows on the next page in Exhibit IV.

(2) An information system to supply management with accurate and timely data on the quality and quantity of each component of the Statewide program. Information and reports should come from both State departments and local jurisdictions on such items as time schedules, cost data, level of effort, effect of effort, reduction in traffic crashes. This information and reports should show the planned level of accomplishment and the actual level. *

(3) A useful technique for approaching the evaluation of ongoing program and elements of programs and for setting priorities within programs and between programs. Cost-effectiveness analysis is a means of measuring the cost of implementing a program or approach in, for example, reducing the number of crashes. Program and approach alternatives should be examined to determine, if possible, which alternative can achieve a specified objective for the least cost.

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* Chapter VI, Reports, of this volume, and Volume 10, Traffic Records, present further discussion of information system characteristics.

## EXHIBIT IV

## EXAMPLES OF PERFORMANCE INDICATORS

| | |
|---|---|
| . Crash rates | . by severity<br>. by jurisdiction<br>. by roadway type |
| . Percentage and numbers | . of fatal crashes where alcohol present, by concentration in blood<br>. of fatal crashes involving vehicle defects<br>. persons fatally injured who were not wearing a safety belt<br>. motorcyclists fatally injured who were not wearing crash helmets |
| . Death rates | . per capita, by jurisdiction |
| . Losses due to injury | . number of hospital bed-days due to traffic crashes |
| . Ranking of crash causes by injury severity | |
| . Bicycle deaths | . number<br>. distribution of visibility conditions |
| . Number of revoked or suspended drivers cited | |
| . Emergency response rates | . Percentage distribution of intervals between crashes producing serious injury and arrival at medical facilities |

(4) Cost/benefit analysis estimates the benefits resulting from a program or approach in terms of lives saved, injuries reduced, and property damage avoided. While it has limited application in a Statewide highway safety program due to the difficulty of isolating the impact of one factor, it is suggested that the Governor's Representative/program manager use this analysis wherever feasible.

# HIGHWAY SAFETY PROGRAM MANUAL

| VOLUME 0<br>Planning and Administration | TRANSMITTAL<br>1 |
|---|---|
| CHAPTER VI.<br>Reports | January 17, 1969 |

(42-01)

Par. 1. Introduction
2. Management Information Reports
3. Evaluation Reports
4. Reports to National Highway Safety Bureau

## 1. INTRODUCTION

One of the most important elements in the total management of the highway safety program is an effective method for the Governor's Representative/program manager to obtain and/or develop the kinds of reports which enable him to:

a. Plan, evaluate, and coordinate the total Statewide highway safety program.

b. Establish priorities in the Statewide highway safety program.

c. Provide guidance to the several operating departments at the State level and to the local jurisdictions.

d. Advise the Governor of the State on the status of the Statewide highway safety program.

e. Prepare, for the Governor, an annual report to the National Highway Safety Bureau which shows a summary evaluation of the State program.

f. Maintain liaison with the National Highway Safety Bureau for the exchange of technical and statistical data.

## 2. MANAGEMENT INFORMATION REPORTS

a. The primary purpose of management reports is to enable the Governor's Representative/program manager to determine and monitor on a continuing basis the status and the problems of the Statewide highway safety program. To achieve this goal, the Governor's Representative/program

manager should receive at a frequency necessary for effective management, the following types of reports:

(1) A report from the head of each operating department (e.g., Public Health, State Police) summarizing the highway safety activities in his department.

(2) A tabulation of the statistics of the highway safety program activities from each operating department. For example, the number of persons receiving driver education, the number of persons convicted of driving under the influence of alcohol.

(3) Reports on the status of projects financed wholly or in part by the Federal Government.

(4) Reports from local jurisdictions on the highway safety activities under way. The magnitude, complexity, and frequency of reporting should be based on the extensiveness of the local program.

b. In addition to frequency of reporting, it is important to encourage prompt reporting that will minimize time lags between the issue of the report and the period upon which the report is based.

c. The Governor's Representative/program manager should assure that reports called for in other volumes of this Manual are prepared and that reports submitted by State agencies to the NHSB are transmitted through his office.

3. EVALUATION REPORTS

a. One of the major management tasks for the Governor's Representative/program manager is the preparation of reports which show an evaluation of the Statewide highway safety program. Evaluation reports should consist of:

(1) Annual Statewide evaluation of the highway safety program. This report should condense the reports mentioned in paragraph 2 of this chapter into a form which shows the following:

(a) Current status of Statewide program.

(b) Changes from previous year.

(c) Progress made in reducing traffic crashes as a result of the highway safety program and where possible for each major component of the program.

(d) Total cost of the Statewide program, including comparative data and actual expenditures and planned expenditures.

(2) A report showing future plans for the Statewide program. This report should show plans and estimated cost for the following 12 months and plans over a 5-year period.

b. The evaluation reports should be useful for informing the Governor, the legislators and the public of the progress made in the State in reducing traffic crashes.

4. REPORTS TO NATIONAL HIGHWAY SAFETY BUREAU

While this volume is designed for the management of a State highway safety program, it is desirable to include some indication of the need for and desirability of communication between the State and the Federal Government.

a. The prime requirement of communication from the State to the Federal Government is to transmit information that describes and assesses the State highway safety program. Therefore, the NHSB has asked each State for information which will enable the Secretary of Transportation to make determinations required of him by the Highway Safety Act.*

b. The NHSB requires periodic reports from each State to enable the Bureau to be fully informed of the highway safety activities throughout the country and be in a position to analyze the status and needs of the country as a whole.**

* A procedural guide was sent to the States on this subject on July 22, 1968.

** Volume 100 will contain detailed instructions and clarification on the role and reporting requirements of the National Highway Safety Bureau.

# HIGHWAY SAFETY PROGRAM MANUAL

| VOLUME 0<br>Planning and Administration | TRANSMITTAL<br>1 |
|---|---|
| CHAPTER VII.<br>Local Government Participation | January 17, 1969 |

(42-01)

Par. 1. Introduction
2. Local Public Agency Responsibilities
3. Role of Governor's Representative/Program Manager in Local Highway Safety

## 1. INTRODUCTION

Planning and administration of a Statewide highway safety program should involve the active participation of local governments because a significant amount of the operational requirements of the national Standards and other highway safety activities is administered at the local levels. It is most desirable to create a close working relationship between the State and its local governments in forming a truly Statewide highway safety program.

## 2. LOCAL PUBLIC AGENCY RESPONSIBILITIES

a. Local officials in each State should be fully aware of the importance of the role they play in the Statewide program and should endeavor to provide the fullest cooperation in the State's attempt to develop and operate a strong Statewide highway safety program. The chief executive of each jurisdiction (mayor, county chairman, etc.) should assume the leadership in the establishment and implementation of relevant programs and activities in the jurisdiction. Communications from local jurisdictions to the Governor's Representative/program manager should be through him and vice versa.

b. In highly urban jurisdictions it may be desirable to establish the position of a local highway safety program manager. The concepts and guidelines expressed in this volume will be of assistance to a local program manager.

c. Areawide coordination may be assisted through associations of counties and cities, or through other regional arrangements.

3. ROLE OF GOVERNOR'S REPRESENTATIVE/PROGRAM MANAGER IN LOCAL HIGHWAY SAFETY

The Governor's Representative/program manager has four major responsibilities in fostering local government participation in the Statewide highway safety program. These are:

a. To develop and assist local government leadership in the field of highway safety.

b. To assist in program coordination with and among local jurisdictions.

c. To assist in local program development and operation.

d. To review and transmit applications for Federal funds for local highway safety projects and programs within the Statewide highway safety program.

# APPENDIX A

## GLOSSARY OF DEFINITIONS

This glossary defines those terms whose meanings may be unclear in the context in which they are used. These definitions are meant to apply only to the usage of these terms in this volume.

Activity - The effort involved in providing a service within the highway safety program.

Allocation - A sum of money that is designated for a specific purpose.

Apportionment - The distribution of total Federal funds among the States according to a formula.

Base Year - A reference year established by Sec. 402(b)(1)(D) of Title 23, U.S.C. in order to determine the relative State level of expenditures to preceding years.

Federal Aid - Funds available to State Governments, and through them to political subdivisions, to implement the uniform national safety Standards.

Functional Programs - A grouping of related activities within the highway safety program responsive to each of the Standards (e.g., motor vehicle inspection, driver licensing, etc.).

Governor's Representative - The State official who is responsible to and represents the Governor in the conduct of the Statewide highway safety program.

Line-Item Budget Requests - The conventional manner in which State departments, agencies and political subdivisions request budgetary funds for personnel, materials and supplies, equipment, and other operating needs.

National Standards - Uniform performance requirements in highway safety promulgated by the Secretary of Transportation in several functional programs.

Political Subdivisions - State-recognized administrative units having highway safety responsibilities below the State level and responsive to an electorate residing within a defined geographic area of the State.

Private Groups - Organizations outside of government that have an interest, or potential interest, in community affairs and highway safety.

Professional Groups - Organizations outside of government that consist of interested governmental officials and/or professionals who participate, or might participate, in the highway safety process.

Program - The Statewide aggregate of highway safety activities in a State.

Program Budget - The compilation of State departmental and political subdivision budget requests classified and converted to show the objectives and cost requirements of the State highway safety program.

Program Group - The physical components of the highway safety system consisting of the human, the roadway, the vehicle, and the supportive activities.

Program Manager - The State official who may be responsible for the management of the highway safety program. The program manager may be the same official as the Governor's Representative or may be appointed by the Governor's Representative.

Program Structure - The relationship which the parts of the program (groups, elements, and activities) bear to one another.

Statewide Highway Safety Program - The sum of State and community efforts in highway safety.

# APPENDIX B

## EXAMPLE OF STATE ENABLING LEGISLATION

The following suggested State Enabling Legislation has been prepared to call to the attention of the States the provision of the Highway Safety Act of 1966 which requires that the Governor of the State shall be responsible for the administration of the highway safety program.

It should be noted that the form and contents of the proposed legislation are merely suggested and that each State should prepare for legislative action proposed legislation that will enable that State, considering the peculiarities of the law and constitution of that State, to secure the benefits available to the State under the Act. Implementation of a Highway Safety Act may require additional legislative action at the State level. As an example, legislation may, in a given State, be necessary to enable the State's political subdivisions to expend the 40 percent or more of the funds as provided by the Act. Therefore, existing constitutional and other requirements should be carefully examined to ensure that all contingencies are considered. Other possible problem areas of a legislative nature will, no doubt, be revealed in due course.

Section 402(a) of Title 23, United States Code, provides that "each State shall have a highway safety program approved by the Secretary . . ."

One of the mandatory conditions, in fact the first condition, attached by the Congress to the Secretary's approval of a State's highway safety program, requires that the ultimate responsibility for the administration of that program rest with the State Governor.*

The Governor may, however, administer the Statewide highway safety programs through an appropriate instrumentality of the State.

To enable each State to secure the benefits made available to it under the Act, therefore, it is strongly urged that State legislatures assign the highest priority to the enactment of an assent (or consent) statute, similar to existing State statutes originally enacted following the passage in 1916 of the first Federal-aid Highway Act.

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*Section 402(b)(1)(A) provides: "The Secretary shall not approve any State highway safety program under this section which does not provide that the Governor of the State shall be responsible for the administration of the program."

These assent statutes have operated to empower the various State highway departments or road commissions to discharge the responsibilities devolved upon them by the provisions of Section 302(a) of Title 23, United States Code. Unless a State's statutory law or constitution already confers the authority contemplated by Section 402(b)(1)(A) of Title 23, United States Code, upon its Governor (to administer and be responsible for the State's highway safety program), immediate legislative activity in this area will be necessary. Legislative enactments to accomplish that objective should repeal or modify all State law inconsistent therewith.

It is conceivable that such legislation may be inconsistent with some constitutional provision of a State. In that event, of course, an appropriate constitutional amendment might be necessary.

The National Highway Safety Bureau has suggested that State legislatures consider adopting the following language for their respective assent statutes in connection with the Highway Safety Act:

> "The Governor, in addition to other duties and responsibilities conferred upon him by the constitution and laws of this State is hereby empowered to contract and to do all other things necessary in behalf of this State to secure the full benefits available to this State under the Highway Safety Act of 1966, and in so doing, to cooperate with Federal and State agencies, private and public agencies, interested organizations, and with individuals, to effectuate the purposes of that enactment, and any and all subsequent amendments thereto. The Governor shall be the official of this State having the ultimate responsibility for dealing with the Federal Government with respect to programs and activities pursuant to the Highway Safety Act of 1966 and any amendments thereto. To that end he shall coordinate the activities of any and all departments and agencies of this State and its subdivisions, relating thereto."

# APPENDIX C

## EXAMPLE OF STATE EXECUTIVE ORDER*

THE STATE OF

_____

EXECUTIVE ORDER

WHEREAS, The Enabling Act (or cite other appropriate State law) has authorized and directed the Governor to do all things necessary on behalf of the State to secure the full benefits of the Federal Highway Safety Act of 1966, P.L. 89-564, 80 Stat. 731, to improve the highway safety of the State; and

WHEREAS, The said Enabling Act has further designated the Governor as the officer ultimately responsible for the highway safety programs pursuant to the said Highway Safety Act of 1966, and authorized and directed him to coordinate the activities of any and all departments and agencies of the State and its subdivisions for such purpose; and

WHEREAS, It is necessary to establish a formal organization and delegate thereto certain of the Governor's powers and authority for the execution of the said highway safety program:

NOW, THEREFORE, I, _____, Governor of _____, order and direct as follows:

1. That there is hereby established in the Executive Branch of the State government an Office of Highway Safety, headed by a Governor's Representative for Highway Safety appointed by and serving at the pleasure of the Governor, and staffed by such other officers and employees as the said Representative may from time to time appoint according to law.

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* It should be noted that the form and content of the above example are merely suggested, and that each State with the advice of its legal counsel should prepare such executive documents in conformity with the particular law of that State as will provide it adequate organization, authority, and direction to secure the benefits of the Highway Safety Act of 1966. It should also be noted that enabling legislation, such as suggested in Appendix B, ante, may be required as the basis of such executive action.

2. That there is hereby delegated to the Governor's Representative all the powers and authority vested in the Governor by the Enabling Act (or cite other appropriate State law), except the following: (enumerate reservations, if any), and he is directed to exercise the same in pursuance of the said Act. The powers and authority hereby delegated to the Governor's Representative may be redelegated within the Office of Highway Safety, except: (enumerate reservations, if any).

3. That all departments and agencies within the Executive Branch of the State government are to cooperate with the Governor's Representative in the performance of his highway safety functions provided herein, to the full extent permitted by law.

4. That this Order shall take effect upon (fixed date), (appointment, qualification, or confirmation of Governor's Representative), (other contingency).